

ORDER

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

7010.1P

DATE 4/9/02

SUBJ: AIR TRAFFIC EVALUATIONS

- 1. PURPOSE.** This order provides standardized procedures for evaluating compliance with specified directives and procedures at the national, regional, hub, and facility level within the Federal Aviation Administration (FAA), including federal contract towers (FCT), non-federal control towers (NFCT), and when requested, military air traffic facilities.
- 2. DISTRIBUTION.** This change is distributed to select offices in Washington headquarters, regional offices, and the FAA Academy; to the division level in the Office of System Safety; all air traffic field offices and facilities; and all FCT and NFCT operators/companies.
- 3. CANCELLATION.** Order 7010.1N, Air Traffic Evaluations, dated December 24, 2001, is canceled.
- 4. EFFECTIVE DATE.** This order is effective May 24, 2002.
- 5. EXPLANATION OF CHANGES.** Many of the changes are editorial in nature for proper format and clarity of meaning. Four substantive changes were incorporated into this order.
 - a. Operational Error/Deviation (OE/D) Causal Factors.** There are selected checklist items that will have OE/D Causal Factor associations. These will be highlighted in evaluation reports for purposes of tracking at the national level and heightened awareness at the facility level.
 - b. Deficient Rating "D" and Operational Support Hub Rating "H."** Requirement was added for Regional Air Traffic Divisions (RATDs) to ensure facility correction of items rated "D" or Operational Support "H," within 180 days. This was being accomplished informally through separate agreements with each region. The RATDs still have oversight authority for correction of these items; however, it now needs to be documented and accomplished within 180 days.
 - c. Action Plan.** The facility requirement to document their action plan for resolving items rated "A" into NSEAI was changed from 24 hours to 15 days. This allows processing time for an evaluation report to be finalized and for the facility to have access to the report.
 - d. Organization.** AAT-100 has reorganized from four to three branch offices. The geographic area of responsibility formerly assumed by AAT-120 has been transferred to AAT-150.

Distribution: A-W (AT/TA/TP/TT/TX/RS)-3; A-W (BC/SY)-2;
A-X (AT) - 3; A-Y (AY)-3; A-FAT-0 (LTD) ;ZAT-464

Initiated By: AAT-100

6. DEFINITIONS.

a. Action Plan. An action plan is documentation prepared by the air traffic manager (ATM) that delineates corrective measures and an anticipated closure date for items rated as "A." The plan may also be required for "P," "M," and operations "H" items that were not closed within the appropriate timeframe.

b. Action Rating "A." An action rating is assigned to any checklist or off-checklist item that is not accomplished in accordance with national, regional, hub, or local requirements and the magnitude is such that it requires immediate attention; e.g., a safety issue.

c. Appended Items. Appended items are new or elevated items identified in the course of conducting an evaluation at another facility, during in-flight/preflight evaluations, or as a result of investigative findings obtained from an Operational Error/Deviation (OE/D), accident, or incident, or other triggering event.

d. Checklists. The national checklists for evaluating combined control facilities (CCF), en route facilities, flight service stations, terminal facilities, and non-federal airport traffic control towers (NFCT) are contained in the National Statistics for Evaluations and Investigations (NSEAI) database. The database is accessible via the AAT-20 website located at <http://aat20.faa.gov>. These checklists, except for that used for an NFCT, consist of two functional areas, Operations and Operational Support, and are used as minimum guidance in preparing for and conducting Full-Facility Evaluations (FFE). Copies of the checklists are available through each facility's servicing evaluations branch should the website be unavailable or inaccessible.

e. Combined Control Facility (CCF). A CCF is an air traffic control facility that provides approach control services for one or more airports as well as en route air traffic control services.

f. Commendable Rating "C." A commendable rating is assigned to a checklist or off-checklist item that is accomplished in a manner demonstrating a commitment to excellence in performance, programs, or quality of service.

g. Critique. The critique is an ATM's assessment and recommendations regarding the evaluation process and evaluator's or evaluation team's performance.

h. Deficient Rating "D." A deficient rating is assigned to a checklist or off-checklist operational support item that does not meet national, regional, hub, or local requirements. The manner in which a deficient item is resolved shall be at the discretion of the Regional Air Traffic Division (RATD) manager. Specific applicable references shall be noted at the end of each narrative.

i. Desk Audit. A desk audit is a follow-up evaluation (FUE) that is conducted off-site. It may be accomplished by the servicing evaluations branch through telephone interviews with facility personnel and/or review of requested tape recordings, data, and/or documentation.

j. FAA/Military Joint Evaluations. FAA/military joint evaluations may be directed by AAT-1/20/100 and shall be conducted in accordance with the procedures in FAA Order 7610.4, Special Military Operations.

k. FAA Contract Tower (FCT). An FCT is a VFR tower providing ATC services under contract with the FAA. FCT's are evaluated utilizing the Terminal Checklist.

l. Follow-up Evaluation (FUE). An FUE is conducted either on-site or through desk audit to ensure that specific items detected during FFE's or items appended to an FFE report are corrected.

m. Full-Facility Evaluation (FFE). An FFE is conducted on-site utilizing the appropriate national checklist to assess the facility's overall performance in Operations, Operational Support, and areas of special emphasis.

n. Hub Rating "H." A hub rating is assigned to any checklist or off-checklist item that does not meet national, regional, or local requirements, and cannot be resolved at the facility level. Such a rating is only appropriate during evaluations at field facilities that are within the purview of a hub manager.

o. In-flight/Preflight Evaluations. In-flight/preflight evaluations are assessments of the services provided by air traffic facilities. Evaluators and other authorized personnel conduct in-flight evaluations using air carrier, agency, military, or rental aircraft. In-flight evaluations conducted in agency and rental aircraft are a means of assessing emergency assistance capabilities.

p. Informational Rating "I." An informational rating is assigned to any checklist or off-checklist item that may be of interest to the RATD manager or other readers of the evaluation report at Washington headquarters.

q. Management Effectiveness Rating "M." A management effectiveness rating indicates that management has not been effective in ensuring that discrepancies are resolved at the facility level. This item is intended to alert the RATD manager that regional assistance may be required. This rating will normally be assigned to a "P" item re-identified during subsequent evaluations.

r. National Statistics for Evaluations and Investigations (NSEAI). AAT-20's national database that contains evaluation checklists, evaluation reports, facility information, tracking control numbers, response data, and other statistical information.

s. Non-Federal Airport Traffic Control Tower (NFCT). NFCT's are facilities that are operated by a company or municipality and not funded by the FAA.

t. Not Applicable Rating "N/A." The N/A rating is assigned to any checklist item that does not apply to the facility being evaluated.

u. Not Observed Rating “N/O.” The N/O rating is assigned to any checklist item that is applicable to the facility but is not observed during the course of the evaluation.

v. Not Rated Rating “N/R.” The N/R rating is assigned to any checklist item that is applicable to the facility but for various reasons, such as time limitations, the item is not evaluated.

v. Observed Event. An observed event identifies a situation witnessed by a member or members of the evaluation team that is determined to be operationally significant; e.g., a suspected OE/D. An observed event shall be rated as “I” and addressed in the report.

w. Off-Checklist. An off-checklist item is an assessed item that is not specifically identified on a national evaluation checklist.

x. Problem Rating “P.” A problem rating is assigned to a checklist or off-checklist Operations item or re-identified Operational Support item that does not meet national, regional, hub, or local requirements, and the item can be resolved at the facility level.

y. Questionable Rating. The questionable rating is assigned as a result of an occurrence or condition described in an in-flight/preflight evaluation report that may warrant further investigation.

z. Region Rating “R.” A region rating is assigned to any checklist or off-checklist item that does not meet national or regional requirements, and the item cannot be resolved at the facility or hub level.

aa. Satisfactory Rating “S.” A satisfactory rating is assigned to a checklist item that is accomplished in compliance with national, regional, hub, and local requirements.

ab. Special Evaluations. Special evaluations assess specific areas or programs as directed by AAT-1/20/100/200 or as requested by a Washington headquarters or a regional office. These evaluations may be either scheduled or unscheduled.

ac. Three-Step Closure Process. The three-step closure process is the required method by which items identified as “A,” “M,” “P,” and operations “H” are to be closed. The required responses at 60 and 180 calendar days shall describe the three steps as follows:

(1) **Corrective Action.** The corrective action is the initial action or series of actions taken by the facility to correct the discrepancy.

(2) **Follow-up Action.** The follow-up action is taken after an appropriate period of time to validate that the corrective action was successful. Documentation must include the date(s) that this was accomplished and the results.

(3) Management Control. The management control includes the action and/or program that will remain in place to ensure that the discrepancy does not recur. Additionally, the management control identifies the position(s) within the facility that have responsibility to periodically review the corrected discrepancy and how often the review will be accomplished.

ad. Washington Headquarters Rating "W." A Washington headquarters rating may be assigned to any checklist or off-checklist item that does not meet national requirements and cannot be resolved at the regional level. A "W" rating shall not be assigned to any item without prior coordination with AAT-100.

7. AIR TRAFFIC EVALUATIONS DIVISION, AAT-100.

a. Organization. The Air Traffic Evaluations Division, AAT-100, is one of two divisions within the Air Traffic Evaluations and Investigations Staff, AAT-20. AAT-100 consists of a division staff located at Washington headquarters and three branches: AAT-130 is located in Fort Worth, Texas; AAT-140 is located in Seattle, Washington; and AAT-150 is located in Atlanta, Georgia.

b. Mission Statement. The mission of AAT-100 is to:

(1) Assure the continued quality and effectiveness of the ATC system by conducting comprehensive scheduled and unscheduled evaluations of all civilian ATC facilities.

(2) Conduct investigations of accidents/incidents and OE/D's in conjunction with the Air Traffic Investigations Division, AAT-200.

(3) Monitor system compliance with established policies, procedures, and requirements.

(4) Recognize commendable accomplishments and communicate those initiatives throughout the air traffic organization.

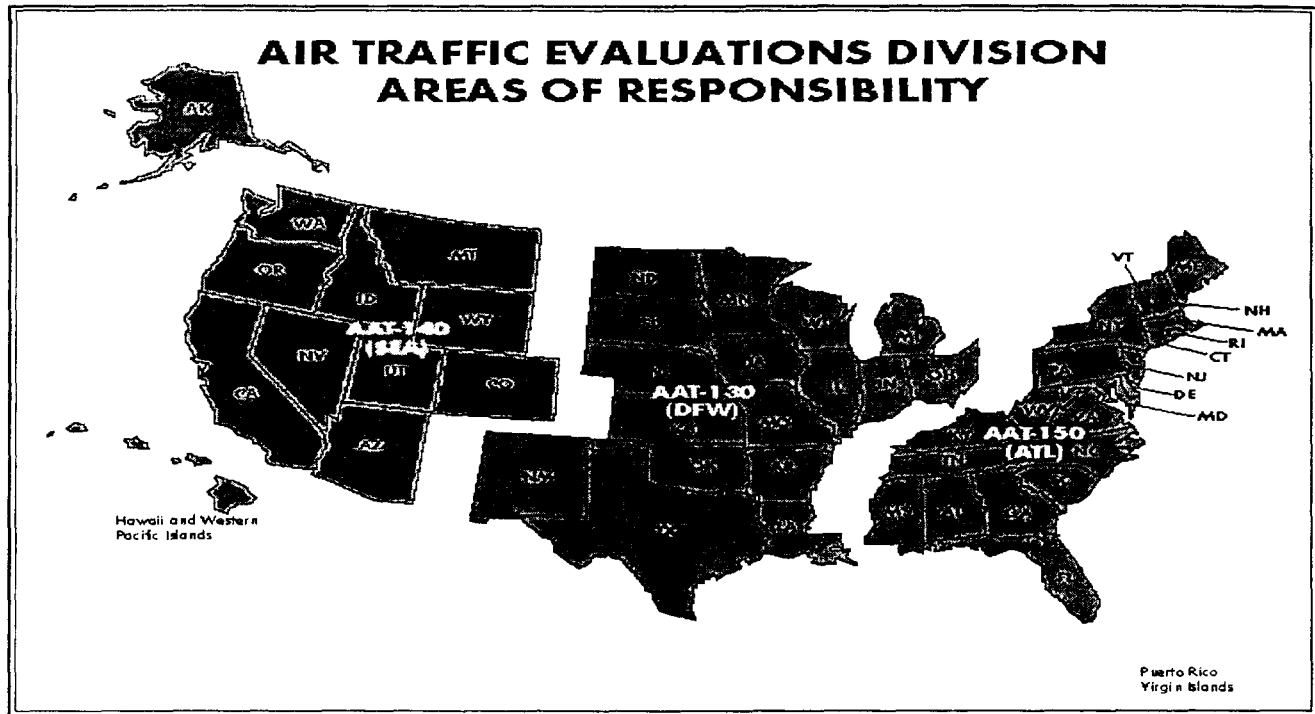
(5) Identify problems or trends within the system. Ensure that problem resolution is timely and effective.

c. Areas of Responsibility.

(1) Each AAT evaluations branch is responsible for conducting evaluations of all civilian ATC facilities located within a specified geographic area of the United States and certain U.S. territories. Figure 1, Areas of Responsibility, indicates the geographic responsibility for each AAT Evaluations Branch.

(2) AAT-140 is responsible for evaluations at the Anchorage Air Route Traffic Control Center (ARTCC), Anchorage Air Traffic Control Tower (ATCT)/Terminal Radar Approach Control (TRACON), and all Automated Flight Service Stations within the Alaskan Region. The Alaskan Region Air Traffic Division shall conduct all other evaluations within the region.

Figure 1.



8. RESPONSIBILITIES.

a. Air Traffic Evaluations Division, AAT-100, shall:

- (1) Ensure that an annual AAT evaluation program is developed and implemented.
- (2) Maintain a national database of evaluation information for analysis.
- (3) Provide a status report to AAT-1 through AAT-20 each March and September for all open region and Washington headquarters items.
- (4) Review the evaluation process continuously to ensure its efficiency and effectiveness.
- (5) Ensure that authorized personnel, in accordance with this order and Order 7010.6, conduct in-flight/preflight evaluations.

(6) Upon request, provide assistance for problem resolution or service improvements based upon the knowledge of programs and procedures used at other facilities or offices.

(7) Review the responses received to determine if the documented three-step closure process was sufficient.

b. Washington Headquarters Air Traffic Program Directors/Air Traffic Organization Managers shall:

(1) Ensure timely resolution for discrepancies identified during evaluations conducted at Washington headquarters air traffic organizations.

(2) Ensure timely resolution for those items elevated to the Washington headquarters level.

c. Regional Air Traffic Division Managers shall:

(1) Ensure timely resolution for discrepancies identified during RATD evaluations.

(2) Ensure timely resolution for those items elevated to the regional level.

(3) Review responses from hub and field facility managers addressing the actions taken to correct all "A," "P," "M," and Operations "H" items identified or appended during FFE's, FUE's, and special evaluations. Prepare an endorsement indicating concurrence or nonconcurrence with the manager's actions. Analyze whether regional assistance is required for "M" items.

(4) Review responses from field facility managers addressing the actions taken to correct problems identified during in-flight/preflight evaluations when a reply is requested. Prepare an endorsement indicating concurrence or nonconcurrence with the manager's actions. The original response and endorsement shall be forwarded to the appropriate AAT evaluations branch for receipt no later than 30 calendar days after the date of the report.

(5) Establish procedures for the resolution of all "D" and "H" items identified in the Operational Support functional area during field facility evaluations. The resolution of these items shall be completed within 180 days of the out-brief and documented in NSEAI.

(6) When resources permit, provide personnel to participate in AAT evaluations.

d. Hub Managers shall:

(1) Ensure the timely resolution of all items elevated to the hub level. Responses for Operations "H" items shall be prepared and submitted in accordance with paragraph 11.

(2) Review responses from field ATM's within the hub addressing the actions taken to correct all "A," "P," and "M" items identified during FFE's, FUE's, and special evaluations. Prepare a written endorsement indicating concurrence or nonconcurrence with the field ATM's response to each item.

(3) When resources permit, provide personnel to participate in AAT evaluations.

e. FAA and FCT Facility Managers shall:

(1) Promptly initiate steps to correct "A" items when notified by the lead evaluator.

(2) Present an action plan addressing "A" items via teleconference to the servicing AAT evaluations branch, in conjunction with the RATD, within 5 calendar days of notification/identification. The purpose of the teleconference will be to obtain concurrence from the servicing AAT evaluations branch manager and RATD. At a minimum, the teleconference shall include the ATM or designee, the RATD manager or designee, and the servicing AAT branch manager or designee. Action plans shall delineate corrective measures and include an anticipated date of completion. See Appendix 3 for a sample format. Following concurrence, the action plan will be entered in NSEAI within 10 days. Include the action plan in the facility's evaluation response.

(3) Prepare a response addressing measures taken to correct all "A," "P," and "M" items identified or appended during FFE's, FUE's, and special evaluations. Responses shall be prepared and submitted in accordance with paragraph 11.

(4) Submit a response to the requesting office, through the RATD, within 20 calendar days after the date of the report for an in-flight/preflight evaluation requiring a reply.

(5) When resources permit, provide personnel to participate in AAT evaluations.

(6) Following FFE's and on-site FUE's, complete the critique form supplied by the lead evaluator within 10 calendar days after the outbriefing. The original form shall be forwarded to the AAT Evaluations Branch that conducted the evaluation, with a copy to AAT-20 and AAT-100.

(7) ATM's shall furnish the lead evaluator, upon arrival at the facility, the total traffic count numbers for each calendar year since the previous FFE.

9. EVALUATION PROCESS.

a. Full-Facility Evaluation.

(1) **Preparation and Notification.** An AAT FFE, utilizing the evaluation checklists in the NSEAI database, will normally be conducted once every 2 years at each air traffic facility. Washington headquarters offices, regional offices, and/or field facilities may include additional items pertinent to the facility to supplement the checklists.

AAT-100 will notify the ATM and RATD manager at least 30 calendar days prior to conducting an FFE. This notification may request data for pre-evaluation review and will solicit special interest topics for assessment. Preparation by AAT-100 may include contacting the Administrator's Hotline, the Office of Civil Rights, adjacent ATC facilities, and reviewing Aviation Safety Reports.

(2) Inbriefing. Introduction of team members, evaluation schedule, and evaluation activities will be discussed with facility management and staff.

(3) Conducting the Evaluation. Evaluators shall conduct the FFE through any or all of the following: direct observation, position and/or tape/data monitoring, attendance at personnel meetings, observation of training activities, review of administrative records, interviews/ discussions, and a review of in-flight/preflight evaluation reports. Evaluators will use every means available to verify items not readily observable, so as to avoid unwarranted "N/O" ratings. Evaluators shall coordinate "A" items, prior to definitive identification, with the servicing branch manager and/or assistant branch manager. Interviews will normally be conducted with managers, supervisors, support specialists, union representatives, employee participation group representatives, and other facility personnel who volunteer. Additionally, representatives from adjacent air traffic facilities, other FAA offices, and non-FAA offices (customers, fixed-base operators, airport management personnel, etc.) may be interviewed.

(4) Operational Error/Deviation (OE/D) Causal Factor. The Air Traffic Evaluations and Investigations staff, AAT-20, in coordination with the Office of Aerospace Medicine's Human Resources Research Division, AAM-500, analyzes completed Final OE/D Reports, FAA Form 7210-3, to compile statistics and determine trends regarding the causal factors for OE/D's.

(a) Based on that analytical information and as a quality assurance initiative to further reduce the potential for OE/D's system-wide, AAT-20 has identified certain checklist items that, when rated as problematic during evaluations, indicate that the facility's potential for experiencing an OE/D is increased.

(b) The narrative in the evaluation report shall be annotated to clearly state that the problematic item is associated with a system-wide OE/D causal factor; and, as such, requires immediate attention and expeditious correction/resolution via the three-step closure process.

(5) Daily Briefing. The lead evaluator will normally provide the ATM or designee with a daily briefing on the progress of the evaluation.

(6) Outbriefing. The ATM or designee shall be briefed on the evaluator/team's findings at the conclusion of the evaluation. Attendance by facility personnel at the outbriefing is encouraged. A draft copy of the evaluation report will be provided to the ATM or designee at this time or as soon as practical thereafter.

(7) Evaluation Critique. The evaluation team leader shall provide a critique form to the ATM or confirm that the automated form was received.

(8) Reidentified Items. Items that are reidentified as "A" during FFE's shall retain that rating. A previous "D" item that is reidentified may be rated as "P" and reidentified "P" items may be rated as "M." If an "M" rating is used on a reidentified problem, at a subsequent FFE, the control number will be new, but contain the "M" rating. Reidentified items shall require the three-step closure process in accordance with paragraph 11.

b. Follow-up Evaluations.

(1) Preparation and Notification. FUE's shall normally be conducted through an unannounced or minimum notification on-site evaluation, desk audit, or a combination of the two. These evaluations will normally be conducted no earlier than 6 months after the date of the FFE outbriefing or as determined by the Director of Air Traffic (AAT-1) and/or AAT-20/100. Facility management may be requested to provide data for pre-evaluation review. The on-site FUE shall use the same process as outlined in subparagraphs 9a(2) through (6).

(2) Reopened Items. When discrepancies are reopened during the FUE, the original control number shall be retained for tracking. The format in Figure 2 shall be used to change the rating of a reopened item and to identify the evaluation process used to modify the rating. Items that are reopened as "A" during FUE's shall retain that rating. Reopened "P" items may be assigned an "M" rating. A new response cycle for all reopened items begins from the date of the FUE outbriefing. If an item is rated as "M," during other than an FFE, the "M" rating will take the place of the "P" rating in the tracking control number; e.g., 00-T-XYZ-O1P would become 00-T-XYZ-01M. Resolution requires a three-step closure process.

(3) Open Items. Items previously rated as "A," "P," "M," and Operations "H" shall be considered open if the three-step closure process has not been accomplished and/or the discrepancy can still be detected. Each open item shall be addressed in the evaluation report with an explanation as to why it was still determined open.

(4) New Items. Items may be rated as "C," "A," "P," "D," "H," "R," "W," or "I" as appropriate. A new response cycle for all new items begins from the date of the FUE outbriefing.

(5) Closed Items. Items can be considered closed when the discrepancy can no longer be detected and:

(a) The corrective action taken by the facility to correct the discrepancy was completed; and,

(b) The follow-up action taken after an appropriate period of time validated that the corrective action was successful; and

(c) An appropriate management control was in place to ensure that the problem does not recur.

c. In-flight/Preflight Evaluations.

(1) Requirements. AAT evaluations branches shall conduct at least two preflight evaluations annually on each AFSS/IAFSS/FSS within their area of responsibility. These may be conducted either by telephone, review of voice recordings, or in person.

(2) Services Evaluated. Individuals assigned to Washington headquarters or a RATD and who have been issued an FAA Form 7010-2, Air Traffic Evaluation Credential, shall conduct in-flight/preflight evaluations. In accordance with this directive and FAA Order 7010.6, evaluators will normally assess the following services when applicable during in-flight/preflight evaluations:

- (a) Clearance Delivery.
- (b) Automatic Terminal Information Service.
- (c) Ground Control.
- (d) Local Control.
- (e) Approach/Departure Control.
- (f) En route.
- (g) Preflight Briefing.
- (h) Airport Advisory.
- (i) In-flight Position.
- (j) Other services may be evaluated as deemed appropriate.

(3) Responses. If a reply is requested on an in-flight/preflight evaluation report, the reply shall be directed to the office indicated at the top of the report.

d. NFCT Evaluations. NFCT evaluations shall be conducted utilizing the appropriate checklist in NSEAI. Evaluations will be accomplished by the assessment of the facility and the control tower operator's compliance with the appropriate subparts of 14 CFR Part 65, Certification: Airmen Other Than Flight Crew Members; Subpart B, Air Traffic Control Operators; and Part 121, Appendices I and J; and Advisory Circular 90-93. Each item shall be addressed in the narrative of the report.

e. Special Evaluations.

(1) Preparation and Notification. AAT-20 shall coordinate with the requesting office and notify the subject facility through the appropriate RATD manager.

(2) Conducting the Evaluation. The inbriefing, evaluation, and outbriefing will be conducted at the direction of AAT-20 and the requesting office.

(3) Tracking Control Number. The format in Figure 2 shall be used for assigning tracking control numbers.

f. Washington Headquarters Air Traffic Organization/Regional Air Traffic Division Evaluations.

(1) Preparation and Notification. AAT-20 shall advise AAT-1, the regional administrator, Washington headquarters program directors, and other Washington headquarters air traffic organization/RATD managers, as appropriate, in writing at least 30 calendar days prior to conducting the evaluation. This notification shall include a request for special emphasis topics for assessment. Evaluators shall coordinate with the appropriate Washington headquarters and regional elements to obtain information on specific areas to be assessed.

(2) Conducting the Evaluation. Washington headquarters air traffic organization/RATD evaluations shall be conducted as directed by AAT-1/20.

g. FAA/Military Joint Evaluations. FAA/military joint evaluations shall be conducted in accordance with FAA Order 7610.4. These evaluations shall be conducted at the discretion of AAT-1/20/100.

h. Appended Items. The format in Figure 2 shall be used for assigning tracking control numbers. Under the following circumstances, new items and previously identified "P" items elevated to an "M," may be appended to the most recent FFE report:

(1) While monitoring interfacility operations during evaluations. For example, a problem may be identified at one facility while evaluating another.

(2) During in-flight/preflight evaluations.

(3) As a result of investigative findings emanating from an OE/D, accident, or incident.

(4) As a result of a facility submitting a third late OE/D report.

NOTE: Coordination with the responsible AAT branch, RATD, and facility involved will be accomplished prior to appending a new item to the FFE report. A separate report identifying the appended item(s) will be forwarded to the ATM, and the response cycle for that item(s) begins from the date of identification.

i. Special Emphasis Items (SEI).

(1) National SEI's. Each quarter, Air Traffic principal program managers at Washington headquarters may submit a written request that AAT-20 personnel assess one or more SEI's during FFE's and FUE's in the next quarter. The SEI's may be generic to all field

facilities or site specific. AAT-100 will review each request and compile a list of approved national SEI's to be assessed during the next quarter.

(a) The list of national SEI's shall include the topic for each SEI, supporting documentation, the applicable directive or regulation, the effective date for assessment, and a cancellation date.

(b) AAT-100 shall distribute the list of national SEI's to each AAT evaluations branch and the RATD's.

(c) Time-critical or safety-related national SEI's, disseminated expeditiously on a case-by-case basis, shall be effective upon receipt.

(2) Regional SEI's. The RATD manager may request in writing that the servicing AAT evaluations branch assess one or more regional SEI's. The request shall be submitted at least 15 workdays prior to the beginning of the next quarter. The AAT evaluations branch manager shall either concur or not concur with the request. If the AAT evaluations branch manager concurs with the requested regional SEI, it shall be assessed during FFE's and on-site FUE's within the region commencing with the new quarter.

(3) Reporting SEI Findings.

(a) SEI findings shall appear in the evaluation report in a separate section entitled "Special Emphasis Items (SEI)." An informational narrative summarizing the assessment of each applicable national and/or regional SEI shall be included in the FFE or FUE report. Any "A," "P," or "D" rating, assigned as a result of an SEI assessment, shall be cited under Operations or Operational Support. In such cases, the informational narrative in the SEI section of the report shall refer to any related item(s) within another section of the report.

(b) AAT-20 shall forward a summary report to the program manager(s) who requested feedback.

(c) AAT evaluations branch managers will not provide a summary report for regional SEI's.

NOTE: If the SEI requires on-site assessment and a desk audit is used as the FUE method, the SEI is not applicable and, therefore, need not be included in the FUE report.

10. EVALUATION REPORTS.

a. Report Completion. Results of all evaluations shall be documented to ensure that Washington headquarters and regional offices remain fully informed regarding the effectiveness of the air traffic system. All final reports, except in-flight/preflight evaluation reports, shall be completed and distributed within 10 calendar days of the date of the outbriefing. When possible, reports should be written in the past tense. The NSEAI software will generate the current format for evaluation reports.

b. FFE Reports shall:

(1) Contain the results of the evaluation pertaining to the two functional areas and the assessment of applicable special emphasis items.

(2) Describe all reportable items.

(3) Assign tracking control numbers to all items identified as "A," "P," "D," "M," "H," "R," and "W" in each functional area of the report in accordance with Figure 2, Tracking Control Number.

FIG 2. TRACKING CONTROL NUMBER

Tracking Control Number Example: 00-C-XYZ-01D-AE
"00" refers to the year of the FFE.
<p>"C" designates the type of facility:</p> <ol style="list-style-type: none"> 1. C= ARTCC 2. T= Terminal / FCT including the following: <ol style="list-style-type: none"> a. TRACON b. Super TRACON c. Combined TRACON/Tower d. Tower with BRITE e. Tower without BRITE f. Combined Non-Radar Approach Tower 3. S= Combined Control Facility 4. F= AFSS / FSS
"XYZ" is the facility identifier
<p>"01" is the tracking number and "D" is the rating:</p> <ol style="list-style-type: none"> 1. A= Action Rating 2. M= Management Effectiveness Rating 3. P= Problem Rating 4. D= Deficiency Rating 5. H= Hub Rating 6. R= Region Rating 7. W= Washington Headquarters Rating
<p>"AE" indicates problem identification other than during the FFE. The following shall be used for appended items, desk audits, special evaluations, and follow-up evaluations:</p> <ol style="list-style-type: none"> 1. AE = Appended Item 2. DA = Desk Audit 3. SP = Special Evaluation 4. U = Follow-up Evaluation

(4) Be distributed as follows:

(a) The original report shall be retained in the appropriate evaluation branch.

(b) One copy of the report shall be provided to AAT-100, the RATD manager, the hub manager, the ATM, and the local bargaining unit representative. If the facility is an FCT, additional copies shall be forwarded to FAA Contract Air Traffic Services (ATP-140) and the contractor/operator.

c. Executive Summaries. Executive summaries shall be prepared for ATC Grade 10 facilities and above. Executive summaries shall be prepared using the format in Appendix 1, Executive Summary Format. They shall be distributed by AAT-20 to AAT-1 and program directors as appropriate. Other executive summaries may be prepared at the direction of AAT-20/100.

d. FUE Reports.

(1) Item Classification. FUE reports shall contain the status of all "A," "P," "M," and Operations "H" items identified during the previous FFE and any items appended to the FFE report. Items shall be categorized as reopened, open, new, or closed. Each item shall contain a tracking control number and title, followed by a description or explanation of findings.

(2) Reopened Items. Reopened items shall be addressed in this section of the report and documented in accordance with paragraph 9b(2).

(3) Open Items. Open items shall retain their original tracking control number and be documented in accordance with paragraph 9b(3).

(4) New Items. As necessary, use the format in Figure 2 for assigning tracking control numbers. Continue numbering new items sequentially from those reported in the facility's most recent FFE.

(5) Closed Items. Items closed during the response process and those items closed during the FUE (see paragraph 11, Responses) shall be documented.

(6) Report Distribution. The original report shall be retained at the appropriate evaluation branch. One copy of the report shall be provided to each of the following: AAT-100, the RATD manager, the hub manager, the ATM, and the local bargaining unit representative. If the facility is an FCT, additional copies shall be provided to ATP-140 and the contractor/operator.

e. In-Flight/Preflight Evaluation Reports.

(1) Form Completion. Complete the automated report through the use of the FMR2K software program in accordance with FAA Order 7010.6.

(2) Report Distribution. In-flight/preflight evaluation reports shall be completed and distributed within 10 calendar days of the date that the evaluation was conducted. When this is not possible, evaluators shall notify the appropriate RATD so that tapes, data, and records may be retained. If the in-flight/preflight evaluation report contains ratings that are commendable, questionable, or problem; the original report shall be forwarded to the ATM. Copies shall be forwarded to the RATD manager and the appropriate AAT evaluations branch.

f. Washington Headquarters Air Traffic Organization/RATD Evaluation Reports.

(1) **Report Content.** AAT-20 and the Washington headquarters Air Traffic organization/RATD manager that requested the evaluation shall determine the areas to be evaluated and format of the report.

(2) **Report Distribution.** AAT-20 shall make appropriate distribution.

g. Special Evaluation Reports.

(1) **Report Content.** AAT-20 and the manager that requested the evaluation shall determine the areas to be evaluated and the report format.

(2) **Report Distribution.** AAT-20 shall make appropriate distribution.

h. FAA/Military Joint Evaluation Reports. The report shall be prepared and distributed in accordance with FAA Order 7610.4.

i. NFCT Evaluation Reports.

(1) **Item Classification.** Each item on the NFCT checklist shall be assessed and addressed in the narrative of the NFCT evaluation report.

(2) **Format.** Reports shall be written, when possible, in the past tense.

(3) **Report Distribution.** A copy of the report shall be forwarded to the RATD manager, with a copy to the ATM and a copy to the private company or operator.

11. RESPONSES. Responses to the servicing AAT evaluations branch are required for all items rated as "A," "M," "P," and Operations "H." Responses shall comply with the three-step closure process using the approved automated response process contained in NSEAI. If a facility is unable to utilize the automated response process, they shall respond using the format in Appendix 2. In addition, the following criteria apply:

a. Action Plan. Action plans for "A" items that are identified in FFE/FUE's shall be presented via teleconference to the servicing AAT evaluations branch through the RATD manager no later than 5 calendar days after notification/identification. Following concurrence, the action plan will be entered in NSEAI, by the facility, no later than 15 days after the outbriefing.

b. First Response. The first response shall be received at the servicing AAT evaluations branch no later than 60 calendar days after the date of the FFE/FUE outbriefing. All "A" items shall be closed and the action plan and three-step closure process utilized shall be included in this response. Additionally, at a minimum, corrective action shall have been initiated for all "M" and "P" items and documented in the first response.

c. Second Response. The second response shall be received at the servicing AAT evaluations branch no later than 180 calendar days after the date of the FFE/FUE outbriefing. All "M" and "P" items shall be closed and the three-step closure process utilized shall be included in this response.

d. Hub Response. An item rated "H" in the Operations section of the checklist requires a response using the three-step closure process and shall be responded to on the same 60-day and 180-day response cycle of the facility. An item rated as an "H" in the Operational Support section of the checklist requires closure within 180 calendar days after the date of the FFE/FUE outbriefing, and will be handled at the discretion of the RATD.

e. Region/Washington Headquarters Response. Items rated "R" in either the Operations or Operational Support section of the checklist shall be responded to at the discretion of the servicing branch. Items rated "W" shall be responded to at the discretion of AAT-100.

f. Washington Headquarters Air Traffic Organization/RATD/Special Evaluations. Washington headquarters air traffic organization/RATD and special evaluation responses shall be at the discretion of AAT-20.

g. Alaskan Region. The RATD manager for the Alaskan Region, AAL-500, has the latitude for establishing response cycles for seasonal facilities within the Alaskan region. AAT-140 will be responsible for the oversight of evaluations conducted by the Alaskan Region.



Anthony S. Ferrante
Acting Manager, Air Traffic Evaluations
and Investigations Staff, AAT-20

Appendix 1. EXECUTIVE SUMMARY

EXECUTIVE SUMMARY
XXXXXXXXXX ATCT (XXX)
FULL-FACILITY EVALUATION
(Insert date of outbriefing)

This evaluation was the responsibility of AAT-1XX. The team was assisted by an OS from XXX; an SP from XXX; an SP from XXX; and a CPC, who served as the NATCA representative. The facility manager, Xxxx X. Xxxxx (EOD XXX as ATM Xxxx X, 1999), and facility staff were briefed on Xxxx 13, 2001, regarding the findings of the evaluation team.

XXX, an ATC Grade 10 ATCT and the hub facility for two ATCT's and four FCT's, had a traffic count for CY 2000 of 549,168 compared to 535,176 for CY 1999, a 2.6 percent increase. There were no repeat problems or deficiencies from the previous full-facility evaluation (FFE) that was conducted during Xxxx 1998.

XXX experienced seven OE's and two OD's during the 12-month period prior to the FFE.

1. OPERATIONS.

A total of 158 items were assessed. Of these, 2 items were rated as commendable; 155 items were rated as satisfactory; and 1 item was rated as a problem.

The commendable items addressed Operational Teamwork and OS/CIC Monitors Operations.

The single problem cited was Phraseology. It was considered significant because nonstandard phraseology created the potential for misunderstandings and/or miscommunications.

2. OPERATIONAL SUPPORT.

A total of 68 items were assessed. Of these, 1 item was rated as commendable and 67 items were rated as satisfactory.

The commendable item addressed Administrative Tracking.

3. SPECIAL EMPHASIS ITEMS (SEI).

Four national SEI's were applicable: FLS at AT Facilities, Documentation for CIC Certification, CIC Expansion of Duties Impact, and NOTAM Handling.

All of the SEI's were found to be in compliance with directives.

Appendix 2. EVALUATION RESPONSE FORMAT

Subject: **INFORMATION:** Full-Facility Evaluation,
City ATCT (XYZ)

Date:

From: Air Traffic Manager, City ATCT

Reply to
Attn. of:

To: Manager, Air Traffic Evaluations (ATL/DFW/SEA), AAT-1XX

The following steps for resolution have been taken for each action, management effectiveness, problem, or Operations hub rating identified during the subject.

OPERATIONS.

1. (00-T-XYZ-01A) *(Title of action item as it appears in the evaluation report.)*

(a) **Action Plan:** *(Briefly describe the plan that, in conjunction with the RATD, was presented and gained AAT-1XX's concurrence. Include the date of the teleconference that attained concurrence.)*

(b) **Corrective Action:** *(Describe the corrective action(s) completed to date. Include the completion dates.)*

(c) **Followup Measure:** *(Describe the followup action(s) completed to verify the success of the corrective action(s). Include the dates for any completed followup actions and/or the planned completion date for any pending followup action.)*

(d) **Management Control:** *(Describe the management control(s) implemented to preclude recurrence of cited action item.)*

STATUS: We consider this item (open/closed). (60-DAY RESPONSE ONLY.)

2. (00-T-XYZ-02M) *(Title of the management effectiveness item as it appears in the evaluation report.)*

(a) **Corrective Action:** *(Describe the corrective action(s) completed to date. Include the completion dates.)*

(b) **Followup Measure:** *(Describe the followup action(s) completed to verify the success of the corrective action(s). Include the dates for any completed followup actions and/or the planned completion date for any pending followup action.)*

(c) **Management Control:** *(Describe the management control(s) implemented to preclude recurrence of cited management effectiveness item.)*

STATUS: We consider this item (open/closed). (60-DAY RESPONSE ONLY.)

3. (00-T-XYZ-03P) *(Title of problem as it appears in the evaluation report.)*

(a) **Corrective Action:** *(Describe the corrective action(s) completed to date. Include the completion dates.)*

(b) **Followup Measure:** *(Describe the followup action(s) completed to verify the success of the corrective action(s). Include the dates for any completed followup actions and/or the planned completion date for any pending followup action.)*

(c) **Management Control:** *(Describe the management control(s) implemented to preclude recurrence of cited problem item.)*

STATUS: We consider this item (open/closed). (60-DAY RESPONSE ONLY.)